

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Timothy Kirk GALLAGHER et al.

Serial No: 10/541,086

Confirmation No.: 5128

Filed: March 11, 2007

For: Secreted Protein Factor and Cell  
Membrane-Bound Splice Variant

Art Unit: 1647

Examiner: Lockard, Jon McClelland

**TRANSMITTAL LETTER**

Mail Stop Assignment Recordation Services  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Transmitted herewith is a Request for Corrected Notice of Recordation of Assignment Document, with copies of a previously submitted Request for Corrected Notice of Recordation of Assignment Document dated October 22, 2008, and the November 13, 2007 United States Patent and Trademark Office Notice of Recordation of Assignment Document.

☒ The Commissioner is hereby authorized to charge any deficiencies of fees associated with this communication or credit any overpayment to Deposit Account No. 50-1314.

Respectfully submitted,

HOGAN & HARTSON L.L.P.

By: 

Barry M. Shuman, Ph.D.

Registration No. 50,220

Attorney for Applicant(s)

Date: November 18, 2008

1999 Avenue of the Stars, Suite 1400  
Los Angeles, CA 90067  
Phone: (310) 785-4600  
Fax: (310) 785-4601

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Timothy Kirk GALLAHER et al.

Serial No: 10/541,086

Confirmation No.: 5128

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For: Secreted Protein Factor and Cell  
Membrane-Bound Splice Variant

Art Unit: 1647

Examiner: Lockard, Jon McClelland

**REQUEST FOR CORRECTED NOTICE OF  
RECORDATION OF ASSIGNMENT  
DOCUMENT**

Mail Stop Assignment Recordation Services  
Director of the U.S. Patent and Trademark Office  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

On October 22, 2008, a Request for Corrected Notice of Recordation of Assignment Document (copy attached) was filed via the United States Post Office to correct the name of the Assignee and was accompanied by a self-stamped postcard to be returned to this firm as acknowledgement of the receipt by the United States Patent and Trademark Office of these papers. The fee of \$40.00 was paid to the United States Patent and Trademark Office with this previously submitted Request, as well. We never received the postcard back and do not see in PAIR that these papers were ever received in the office of the Assignment Recordation Services.

Request is now hereby made for correction of the Notice of Recordation of Assignment Document for the above-identified application. Please note that the Assignee name is incorrect and should read as follows: "University of Southern California" and not "University of Southern California/USC Stevens." A copy of the United States Patent and Trademark Office Notice of Recordation of Assignment Document dated November 13, 2008 is also attached.

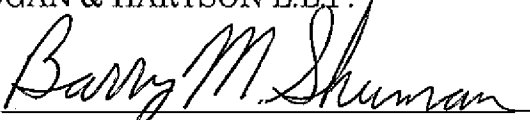
The Commissioner is hereby authorized to charge any deficiency for the fees associated with this communication or credit any overpayment to Deposit Account No. 50-1314.

Respectfully submitted,

HOGAN & HARTSON L.L.P.

Date: November 18, 2008

By:



Barry M. Shuman

Registration No. 50,220

1999 Avenue of the Stars Suite 1400  
Los Angeles, California 90067  
Telephone: 310-785-4600  
Facsimile: 310-785-4601

COPY

S.N. 10/541,086 File No. 89188.0115 Date Mailed 10/22/08 By: LJM/DSZ

Title: "Secreted Protein Factor and Cell Membrane-Bound Splice Variant"

(Client Name) University of Southern California

The Following, due \_\_\_\_\_ in the U.S. Patent & Trademark Office was received in the Patent & Trademark Office on the date stamped hereon:

- ☒ Request for Corrected Notice of Recordation of Assignment
- ☒ Copy of Patent Assignment Abstract of Title
- ☒ Copy of Recordation Cover Sheet and executed Assignment

Check No. _____	for \$ _____	Priority _____
Check No. _____	for \$ _____	_____
_____	_____	_____

Appl. No. 10/541,086

Attorney Docket No. 89188.0-15

Customer No. 25011

**COPY**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Timothy Kirk GALLAHER et al.

Serial No: 10/541,086

Confirmation No.: 5128

Filed: March 11, 2007

For: SECRETED PROTEIN FACTOR  
AND CELL MEMBRANE-BOUND  
SPLICE VARIANT

Art Unit: 1647

Examiner: Lockard, Jon McClelland

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to:  
Mail Stop Assignment Recordation Services  
Director of the U.S. Patent and Trademark Office  
P.O. Box 1450  
Alexandria, VA 22313-1450, on  
10/22/08

Date of Deposit

Diane Zynn

Name

*Diane Zynn*

Signature

Date

**REQUEST FOR CORRECTED NOTICE OF  
RECORDATION OF ASSIGNMENT  
DOCUMENT**

Mail Stop Assignment Recordation Services  
Director of the U.S. Patent and Trademark Office  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Request is hereby made for correction of the Notice of Recordation of Assignment Document (copy enclosed) for the above-identified application. Please note that the Assignee name is incorrect and it should read as follows: "University of Southern California" and not "University of Southern California/USC Stevens."

The fee of \$40.00 was paid to the United States Patent and Trademark Office with the previously submitted Request for Notice of Recordation of Assignment Document dated November 13, 2007 (copy enclosed). The Commissioner is hereby authorized to charge any deficiency for the fees associated with this communication or credit any overpayment to Deposit Account No. 50-1314. A copy of this sheet is enclosed.

Respectfully submitted,

HOGAN & HARTSON LLP

By:

*Barry M. Shuman*

Barry M. Shuman

Registration No. 50,220

Date: October 22, 2008

1999 Avenue of the Stars Suite 1400  
Los Angeles, California 90067  
Telephone: 310-785-4600  
Facsimile: 310-785-4601



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## Assignments on the Web &gt; Patent Query

## Patent Assignment Abstract of Title

**NOTE: Results display only for issued patents and published applications.  
For pending or abandoned applications please consult USPTO staff.**

## Total Assignments: 1

Patent #: NONE

Issue Dt:

Application #: 10541086

Filing Dt: 03/11/2007

Publication #: 20070160985

Pub Dt: 07/12/2007

Inventors: Timothy Kirk Gallaher, Lena A. Bealle, Kai-Jin Wu, Yi Zhao, Unnati Jariwala

Title: SECRETED PROTEIN FACTOR AND CELL MEMBRANE-BOUND SPLICE VARIANT

## Assignment: 1

Reel/Frame: 020104/0060

Recorded: 11/13/2007

Pages: 8

Conveyance: ASSIGNMENT OF ASSIGNORS INTEREST (SEE DOCUMENT FOR DETAILS).

Assignors: GALLAHER, TIMOTHY KIRK

Exec Dt: 07/03/2007

BASILE, LENA A.

Exec Dt: 07/03/2007

WU, KAI-JIN

Exec Dt: 07/20/2007

JARIWALA, UNNATI

Exec Dt: 07/25/2007

ZHAO, YI

Exec Dt: 09/19/2007

Assignee: UNIVERSITY OF SOUTHERN CALIFORNIA/USC STEVENS

3740 S. MCCLINTOCK AVENUE

HUGHES CENTER SUITE EEB 131

LOS ANGELES, CALIFORNIA 90089-2561

Correspondent: HOGAN &amp; HARTSON L.L.P.

1999 AVENUE OF THE STARS

SUITE 1400

LOS ANGELES, CA 90067

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Search Results as of: 10/10/2008 12:08 PM  
If you have any comments or questions concerning the data displayed, contact PRD / Assignments at 571-272-3350. v.2.0.1  
Web interface last modified: April 20, 2007 v.2.0.1

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RECORDATION FORM COVER LETTER  
**PATENTS ONLY**

U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office

Attorney Docket No.: 89188.0115

To the Assistant Commissioner for Patents: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Timothy Kirk Gallaher  
Lena A. Basile  
Kai-Jin Wu  
Yi Zhao  
Unnati Jariwala

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

2. Name and address of receiving party(ies):

University of Southern California  
USC Stevens  
3740 S. McClintock Avenue  
Hughes Center Suite EEB 131  
Los Angeles, California 90089-2561

**COPY**

3. Nature of conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other \_\_\_\_\_

Execution Dates: July 3, 2007; July 3, 2007; July 20, 2007;  
September 19, 2007; July 25, 2007

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s) 10/541,086

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Lawrence J. McClure, Esq.  
HOGAN & HARTSON L.L.P.  
1999 Avenue of the Stars, Suite 1400  
Los Angeles, CA 90067

6. Total number of applications and patents involved: [ 1 ]

7. Total fee (37 CFR 3.41) \$40.00

- ☐ Enclosed  
☒ Authorized to be charged to deposit account

8. Deposit account number:

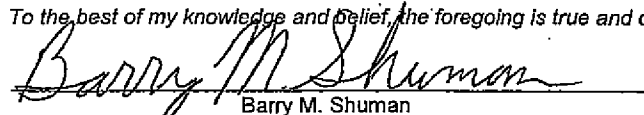
50-1314

(Attach duplicate copy of this page if paying by deposit account)

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9. Statement and signature.

To the best of my knowledge and belief, the foregoing is true and correct and any attached copy is a true copy of the original document.

  
Barry M. Shuman

Date: November 13, 2007

OMB No. 0651-0011 (exp. 4/94)

Mail documents to be recorded with required cover sheet information to:

Mail Stop Assignment Recordation Services  
Director of the U.S. Patent and Trademark Office  
P.O. Box 1450  
Alexandria, VA 22313-1450

ASSIGNMENT OF PATENT RIGHTS FOR THE UNITED STATES

FOR VALUE RECEIVED, I, Timothy Kirk Gallaher, Lena A. Basile, Kai-Jin Wu, Yi Zhao, and Unnati Jariwala, hereby sell, assign, transfer and convey unto

University of Southern California, a corporation of California

having a place of business at

USC Stevens  
University of Southern California  
Hughes Center Suite EEB 131  
3740 McClintock Ave.  
Los Angeles, CA 90089-2561

COPY

its successors, assigns and legal representatives (hereinafter called the "Assignee"), the entire right, title and interest, for the United States, in and to certain inventions relating to for which an application for United States Letters Patent entitled:

**SECRETED PROTEIN FACTOR AND CELL MEMBRANE-BOUND SPLICE VARIANT**

attorney docket number 89188.0115,

☐ filed in the U.S. Patent and Trademark Office with this assignment,

☒ filed with the U.S. Patent and Trademark Office on June 29, 2005, and assigned Serial Number 10/541,086;

and all divisions, and continuations thereof, and all Letters Patent of the United States which may be granted thereon, and all reissues and extensions thereof; and we hereby authorize and request the Commissioner for Patents and Trademarks of the United States to issue all Letters Patent upon said inventions to the Assignee or to such nominees as it may designate.

AND we authorize and empower the said Assignee or nominees to invoke and claim for any application for patent or other form of protection for said inventions filed by it or them, the benefit of the right of priority provided by the International Convention for the Protection of Industrial Property, as amended, or by any convention which may henceforth be substituted for it, and to invoke and claim such right of priority without further written or oral authorization from us.

AND we hereby consent that a copy of this assignment shall be deemed a full legal and formal equivalent of any assignment, consent to file or like document which may be required in the United States for any purpose and more particularly in proof of the right of said Assignee or nominees to claim the aforesaid benefit of the right of priority provided by the International Convention for the Protection of Industrial Property, as amended, or by any convention which may henceforth be substituted for it.

AND we hereby covenant that we have the full right to convey the entire right, title and interest herein assigned, and that we have not executed, and will not execute, any agreement in conflict herewith.

AND we hereby covenant and agree that we will communicate to said Assignee or nominees all facts known to us pertaining to said inventions, and testify in all legal proceedings, sign all lawful papers, execute all continuing and reissue applications, make all rightful oaths and declarations and in general perform all lawful acts necessary or proper to aid said Assignee or nominees in obtaining, maintaining and enforcing all lawful patent protection for said inventions in the United States.

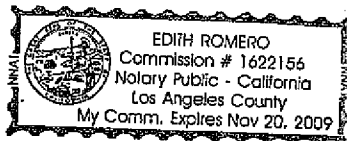
IN TESTIMONY WHEREOF, I hereunto set my hand this 3rd day of July, 2006. <sup>2006.7</sup>

By: 

Timothy Kirk Gallaher

STATE OF California  
COUNTY OF Los Angeles ;

On July 3, 2007, before me Edith Romero, Notary Public  
Notary Public, personally appeared Timothy Kirk Gallaher personally known to me (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument and acknowledged to me that he/she executed the same in his/her authorized capacity, and that by his/her signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.



WITNESS my hand and official seal.

By: 

Signature of Notary

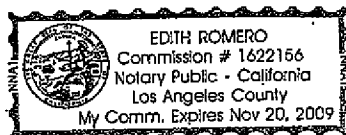
IN TESTIMONY WHEREOF, I hereunto set my hand this 3rd day of July, 2006. <sup>2006.7</sup>

By: 

Lena A. Basile

STATE OF California  
COUNTY OF Los Angeles ;

On July 3, 2007, before me Edith Romero, Public Notary  
Notary Public, personally appeared Lena A. Basile personally known to me (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument and acknowledged to me that he/she executed the same in his/her authorized capacity, and that by his/her signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.



WITNESS my hand and official seal.

By: 

Signature of Notary

IN TESTIMONY WHEREOF, I hereunto set my hand this 20 day of July  
2006. 7 PR

By: Kai Jin Wu  
Kai-Jin Wu

STATE OF California  
COUNTY OF Los Angeles }

On 07/20/07, before me Kai Jin Wu Karla Rodriguez, Notary Public,  
Notary Public, personally appeared Kai-Jin Wu personally known to me (or proved to me on the basis  
of satisfactory evidence) to be the person whose name is subscribed to the within instrument and  
acknowledged to me that he/she executed the same in his/her authorized capacity, and that by his/her  
signature on the instrument the person, or the entity upon behalf of which the person acted, executed  
the instrument.

WITNESS my hand and official seal.



By: [Signature]  
Signature of Notary

IN TESTIMONY WHEREOF, I hereunto set my hand this 19 day of September  
2006. 07 PR

By: Yi Zhao  
Yi Zhao

STATE OF California  
COUNTY OF Los Angeles }

On 19, September, before me Karla Rodriguez, Notary Public  
Notary Public, personally appeared Yi Zhao personally known to me (or proved to me on the basis of  
satisfactory evidence) to be the person whose name is subscribed to the within instrument and  
acknowledged to me that he/she executed the same in his/her authorized capacity, and that by his/her  
signature on the instrument the person, or the entity upon behalf of which the person acted, executed  
the instrument.

WITNESS my hand and official seal.



By: [Signature]  
Signature of Notary



# CALIFORNIA ALL-PURPOSE ACKNOWLEDGMENT

State of California

County of Los Angeles

On July 20, 2007 before me, Karla Rodriguez, Notary Public  
Date Name and Title of Officer (e.g., "Jane Doe, Notary Public")

personally appeared Kai Jin Wu  
Name(s) of Signer(s)



☐ personally known to me

☒ (or proved to me on the basis of satisfactory evidence)

to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

Place Notary Seal Above

## OPTIONAL

*Though the information below is not required by law, it may prove valuable to persons relying on the document and could prevent fraudulent removal and reattachment of this form to another document.*

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Document Date: \_\_\_\_\_ Number of Pages: \_\_\_\_\_

Signer(s) Other Than Named Above: \_\_\_\_\_

### Capacity(ies) Claimed by Signer(s)

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- ☐ Individual
- ☐ Corporate Officer — Title(s): \_\_\_\_\_
- ☐ Partner — ☐ Limited ☐ General
- ☐ Attorney in Fact
- ☐ Trustee
- ☐ Guardian or Conservator
- ☐ Other: \_\_\_\_\_

Signer Is Representing: \_\_\_\_\_

RIGHT THUMBPRINT OF SIGNER

Top of thumb here

Signer's Name: \_\_\_\_\_

- ☐ Individual
- ☐ Corporate Officer — Title(s): \_\_\_\_\_
- ☐ Partner — ☐ Limited ☐ General
- ☐ Attorney in Fact
- ☐ Trustee
- ☐ Guardian or Conservator
- ☐ Other: \_\_\_\_\_

Signer Is Representing: \_\_\_\_\_

RIGHT THUMBPRINT OF SIGNER

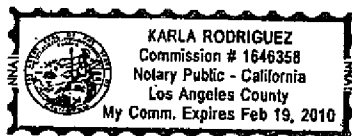
Top of thumb here

IN TESTIMONY WHEREOF, I hereunto set my hand this 26 day of July,  
2007

By: [Signature]  
Unnati Jariwala

STATE OF California  
COUNTY OF Los Angeles }

On 26 July 2007, before me Karla Rodriguez,  
Notary Public, personally appeared Unnati Jariwala personally known to me (or proved to me on the  
basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument and  
acknowledged to me that he/she executed the same in his/her authorized capacity, and that by his/her  
signature on the instrument the person, or the entity upon behalf of which the person acted, executed  
the instrument.



WITNESS my hand and official seal.

By: [Signature]  
Signature of Notary



COPY

## UNITED STATES PATENT AND TRADEMARK OFFICE

UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND  
DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE

\*500397474\*

NOVEMBER 13, 2007

PTAS

HOGAN & HARTSON L.L.P.  
1999 AVENUE OF THE STARS  
SUITE 1400  
LOS ANGELES, CA 90067UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENTTHE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF  
THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS  
AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER  
REFERENCED BELOW.PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE  
INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA  
PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD  
FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY  
CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 571-272-3350.  
PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE,  
MAIL STOP: ASSIGNMENT SERVICES BRANCH, P.O. BOX 1450, ALEXANDRIA, VA 22313.

RECORDATION DATE: 11/13/2007

REEL/FRAME: 020104/0060  
NUMBER OF PAGES: 8BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).  
DOCKET NUMBER: 89188.0115

## ASSIGNOR:

GALLAHER, TIMOTHY KIRK

DOC DATE: 07/03/2007

## ASSIGNOR:

BASILE, LENA A.

DOC DATE: 07/03/2007

## ASSIGNOR:

WU, KAI-JIN

DOC DATE: 07/20/2007

## ASSIGNOR:

JARIWALA, UNNATI

DOC DATE: 07/25/2007

## ASSIGNOR:

ZHAO, YI

DOC DATE: 09/19/2007

P.O. Box 1450, Alexandria, Virginia 22313-1450 - www.USPTO.gov

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NOV 21 2007  
DOCKETING

: HOGAN & HARTSON L.L.P. COMPANY: 1999 AVENUE OF THE ST 3

020104/0060 PAGE 2

ASSIGNEE:

UNIVERSITY OF SOUTHERN  
CALIFORNIA/USC STEVENS  
3740 S. MCCLINTOCK AVENUE  
HUGHES CENTER SUITE EEB 131  
LOS ANGELES, CALIFORNIA 90089-2561

SERIAL NUMBER: 10541086

FILING DATE: 03/11/2007

PATENT NUMBER:

ISSUE DATE:

TITLE: SECRETED PROTEIN FACTOR AND CELL MEMBRANE-BOUND SPLICE VARIANT

ASSIGNMENT SERVICES BRANCH  
PUBLIC RECORDS DIVISION

## PATENT ASSIGNMENT

Electronic Version v1.1  
Stylesheet Version v1.1

11/13/2007  
500397474

SUBMISSION TYPE:	NEW ASSIGNMENT												
NATURE OF CONVEYANCE:	ASSIGNMENT												
CONVEYING PARTY DATA													
<table border="1"><thead><tr><th>Name</th><th>Execution Date</th></tr></thead><tbody><tr><td>Timothy Kirk Gallaher</td><td>07/03/2007</td></tr><tr><td>Lena A. Basile</td><td>07/03/2007</td></tr><tr><td>Kai-Jin Wu</td><td>07/20/2007</td></tr><tr><td>Unnati Jariwala</td><td>07/25/2007</td></tr><tr><td>Yi Zhao</td><td>09/19/2007</td></tr></tbody></table>		Name	Execution Date	Timothy Kirk Gallaher	07/03/2007	Lena A. Basile	07/03/2007	Kai-Jin Wu	07/20/2007	Unnati Jariwala	07/25/2007	Yi Zhao	09/19/2007
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Lena A. Basile	07/03/2007												
Kai-Jin Wu	07/20/2007												
Unnati Jariwala	07/25/2007												
Yi Zhao	09/19/2007												
RECEIVING PARTY DATA													
<table border="1"><tr><td>Name:</td><td>University of Southern California/USC Stevens</td></tr><tr><td>Street Address:</td><td>3740 S. McClintock Avenue</td></tr><tr><td>Internal Address:</td><td>Hughes Center Suite EEB 131</td></tr><tr><td>City:</td><td>Los Angeles</td></tr><tr><td>State/Country:</td><td>CALIFORNIA</td></tr><tr><td>Postal Code:</td><td>90089-2561</td></tr></table>		Name:	University of Southern California/USC Stevens	Street Address:	3740 S. McClintock Avenue	Internal Address:	Hughes Center Suite EEB 131	City:	Los Angeles	State/Country:	CALIFORNIA	Postal Code:	90089-2561
Name:	University of Southern California/USC Stevens												
Street Address:	3740 S. McClintock Avenue												
Internal Address:	Hughes Center Suite EEB 131												
City:	Los Angeles												
State/Country:	CALIFORNIA												
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PROPERTY NUMBERS Total: 1													
<table border="1"><thead><tr><th>Property Type</th><th>Number</th></tr></thead><tbody><tr><td>Application Number:</td><td>10541086</td></tr></tbody></table>		Property Type	Number	Application Number:	10541086								
Property Type	Number												
Application Number:	10541086												
CORRESPONDENCE DATA													
Fax Number: (310)785-4601 <i>Correspondence will be sent via US Mail when the fax attempt is unsuccessful.</i>													
Phone: 310-785-4600													
Email: ljmcclore@hhlaw.com													
Correspondent Name: HOGAN & HARTSON L.L.P.													
Address Line 1: 1999 AVENUE OF THE STARS													
Address Line 2: SUITE 1400													
Address Line 4: LOS ANGELES, CALIFORNIA 90067													
ATTORNEY DOCKET NUMBER:	89188.0115												

CH \$40.00 10541086

NAME OF SUBMITTER:

Barry M. Shuman

Total Attachments: 6

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